

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2020

Report Required by the Ethics
in Government Act of 1978
(5 U.S.C. app. §§ 101-111)

1. Person Reporting (last name, first, middle initial) MCNAMEE, STEPHEN M.	2. Court or Organization US DISTRICT COURT OF ARIZONA	3. Date of Report 07/30/2021
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) US DISTRICT JUDGE SENIOR STATUS - ACTIVE	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2020 to 12/31/2020
7. Chambers or Office Address SANDRA DAY O'CONNOR US COURTS 401 WEST WASHINGTON STREET SPC 60 PHOENIX AZ 85003-2158		
IMPORTANT NOTES: The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information.		

I. POSITIONS. (Reporting individual only; see pp. 9-13 of filing instructions)

☐ NONE (No reportable positions.)

<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1. MEMBER	UNIVERSITY OF ARIZONA COLLEGE OF LAW BOARD OF VISITORS
2.	
3.	
4.	
5.	

II. AGREEMENTS. (Reporting individual only; see pp. 14-16 of filing instructions)

☒ NONE (No reportable agreements.)

<u>DATE</u>	<u>PARTIES AND TERMS</u>
1.	
2.	
3.	

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III. NON-INVESTMENT INCOME. *(Reporting individual and spouse; see pp. 17-24 of filing instructions)*

A. Filer's Non-Investment Income



NONE *(No reportable non-investment income.)*

DATE

SOURCE AND TYPE

INCOME
(yours, not spouse's)

1.		
2.		
3.		
4.		

B. Spouse's Non-Investment Income - *If you were married during any portion of the reporting year, complete this section.*

(Dollar amount not required except for honoraria.)



NONE *(No reportable non-investment income.)*

DATE

SOURCE AND TYPE

1.		
2.		
3.		
4.		

IV. REIMBURSEMENTS -- *transportation, lodging, food, entertainment.*

(Includes those to spouse and dependent children; see pp. 25-27 of filing instructions.)



NONE *(No reportable reimbursements.)*

SOURCE

DATES

LOCATION

PURPOSE

ITEMS PAID OR PROVIDED

1.				
2.				
3.				
4.				
5.				

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V. GIFTS. (Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)

☒ NONE (No reportable gifts.)

SOURCE	DESCRIPTION	VALUE
1.		
2.		
3.		
4.		
5.		

VI. LIABILITIES. (Includes those of spouse and dependent children; see pp. 32-33 of filing instructions.)

☒ NONE (No reportable liabilities.)

CREDITOR	DESCRIPTION	VALUE CODE
1.		
2.		
3.		
4.		
5.		

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VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e g , div , rent, or int)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e g , buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
1. MERRILL LYNCH JOINT MASTER ACCOUNT	A	Int./Div.	J	T					
2. IBM COMMON STOCK (IBM)	A	Dividend	J	T					
3. INTERNATIONAL RECTIFIER COMMON STOCK		None	J	T					
4. FAIRFIELD ESTATES FLAGSTAFF AZ		None	J	W					
5. MARRIOTT CANYON VILLAS		None	J	W					
6. WELLS FARGO CKG	A	Interest	J	T					
7. WELLS FARGO SAVINGS	A	Interest	J	T	Open	02/13/20	J		
8. US BANK CKG #1	A	Interest	K	T					
9. US BANK SVGS	A	Interest	J	T					
10. MERRILL LYNCH - IRA #1 (H)									
11. - BANK OF AMERICA, NA - CASH EQUIVALENT	A	Interest	J	T					
12. -ISHARES CORE S&P SMALLCAP (IJR)	A	Dividend	J	T	Buy (add'l)	03/19/20	J		
13.					Sold (part)	08/13/20	J	A	
14. -VANGUARD FTSE EMERGING MARKETS (VWO)	A	Dividend	J	T	Buy (add'l)	01/15/20	J		
15.					Buy (add'l)	03/19/20	J		
16.					Sold (part)	04/16/20	J	A	
17.					Sold (part)	08/13/20	J	A	

1 Income Gain Codes: (See Columns B1 and D4)	A =\$1,000 or less F =\$50,001 - \$100,000	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000	C =\$2,501 - \$5,000 H1 =\$1,000,001 - \$5,000,000	D =\$5,001 - \$15,000 H2 =More than \$5,000,000	E =\$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	J =\$15,000 or less N =\$250,001 - \$500,000 P3 =\$25,000,001 - \$50,000,000	K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	L =\$50,001 - \$100,000 P1 =\$1,000,001 - \$5,000,000 P4 =More than \$50,000,000	M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	
3 Value Method Codes (See Column C2)	Q =Appraisal U =Book Value	R =Cost (Real Estate Only) V =Other	S =Assessment W =Estimated	T =Cash Market	

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	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
18. -ISHARES BROAD USD INVST GRADE CORP (USIG)	A	Dividend	J	T	Sold (part)	01/15/20	J	A	
19.					Sold (part)	03/12/20	J	A	
20.					Buy (add'l)	04/16/20	J		
21.					Buy (add'l)	08/13/20	J		
22. -VANGUARD FTSE DEVELOPED MARKETS (VEA)	A	Dividend	J	T	Buy (add'l)	01/15/20	J		
23.					Buy (add'l)	03/19/20	J		
24.					Sold (part)	04/16/20	J	A	
25.					Buy (add'l)	08/13/20	J		
26. -ISHARES CORE S&P US GROWTH (IUSG)	A	Dividend	J	T	Buy (add'l)	01/15/20	J		
27.					Buy (add'l)	03/19/20	J		
28.					Buy (add'l)	04/16/20	J		
29.					Sold (part)	08/13/20	J	A	
30. -ISHARES CORE S&P US VALUE (IUSV)	A	Dividend	J	T	Sold (part)	01/15/20	J	A	
31.					Buy (add'l)	03/19/20	J		
32. -VANGUARD MORTGAGE-BACK SEC (VMBS)	A	Dividend	J	T	Buy (add'l)	01/15/20	J		
33.					Sold (part)	03/12/20	J	A	
34.					Sold (part)	03/19/20	J	A	

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2 Value Codes (See Columns C1 and D3)	Q =Appraisal U =Book Value	R =Cost (Real Estate Only) V =Other	S =Assessment W =Estimated	T =Cash Market	
3 Value Method Codes (See Column C2)					

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35.					Sold (part)	04/16/20	J	A	
36.					Buy (add'l)	08/13/20	J		
37. -ISHARES US TREASURY BOND (GOVT)	A	Dividend	J	T	Sold (part)	01/15/20	J	A	
38.					Sold (part)	03/12/20	J	A	
39.					Sold (part)	03/19/20	J	A	
40.					Buy (add'l)	04/16/20	J		
41.					Buy (add'l)	08/13/20	J		
42. -ISH USD HIGH YIELD CORP BOND (USHY)	A	Dividend	J	T					
43. -SPDR BLOOMBERG BARCLAYS 1-3 TBILL (BIL)	A	Dividend	J	T	Buy	03/12/20	J		
44.					Buy (add'l)	03/16/20	J		
45.					Buy (add'l)	03/17/20	J		
46.					Buy (add'l)	03/18/20	J		
47.					Buy (add'l)	03/20/20	J		
48.					Buy (add'l)	04/16/20	J		
49.					Buy (add'l)	08/13/20	J		
50. MERRILL LYNCH - IRA #2 (H)									
51. - BANK OF AMERICA, NA - CASH EQUIVALENT	A	Interest	J	T					

1 Income Gain Codes: (See Columns B1 and D4)	A =\$1,000 or less F =\$50,001 - \$100,000	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000	C =\$2,501 - \$5,000 H1 =\$1,000,001 - \$5,000,000	D =\$5,001 - \$15,000 H2 =More than \$5,000,000	E =\$15,001 - \$50,000
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52. - VANGUARD MID-CAP VAL IDX (VOE)	A	Dividend			Sold	03/20/20	J	A	
53. - VANGUARD SMALL CAP PER (VB)	A	Dividend			Sold	03/20/20	J	A	
54. - INVESCO AERO & DEF (PPA)		None			Sold	03/20/20	J	B	
55. -INVESCO DYN SFTWRE (PSJ)		None			Sold	03/20/20	J	D	
56. - INVESCO DYN BLDG (PKB)	A	Dividend	K	T	Buy (add'l)	03/20/20	J		
57. - INVESCO KBW PERS & CAS (KBWP)		None			Sold	03/20/20	J	A	
58. -ISHARES MORTGAGE R/E CAPPED (REM)	B	Dividend	K	T	Buy (add'l)	03/20/20	J		
59. -INVESCO DWA HLTHCARE (PTH)		None			Sold	03/20/20	J	B	
60. -ISHARES INC CORE MSCI EMERGING MKTS (IEMG)		None			Sold	03/20/20	J	A	
61. -FIRST TR NYSE ARCA BIOTECH (FBT)		None			Sold	03/20/20	J	A	
62. -INVESCO S&P ULT DIVD REV (RDIV)		None			Sold	03/20/20	J	A	
63. -PACER TRENDPILOT US LARG CAP (PTLC)		None			Sold	03/20/20	K	A	
64. -ISHARES COHEN & STEERS REIT (ICF)		None			Sold	03/20/20	J	A	
65. -WISCOMTREE EMERGING MARKETS HIGH DIV (DEM)		None			Sold	03/20/20	J	A	
66. -SPDR INDEX SHS FDS (FEZ)		None			Sold	03/20/20	J	A	
67. -INVESCO KBW BANK ETF (KBWB)		None			Sold	03/20/20	J	A	
68. -INVESCO S&P SMALLCAP LOW VOLATILITY (XSLV)		None			Sold	03/20/20	J	A	

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69. -LEGG MASON ETF INVST LOW VLTLY (LVHD)	A	Dividend			Sold	03/20/20	J	A	
70. -VANECK VECTORS MORNINGSTAR WIDE MOAT(MOAT)		None			Sold	03/20/20	J	A	
71. -WISDOMTREE INTERNATL HEDGED QUAL DIV (IHDG)	A	Dividend	K	T	Sold (part)	03/20/20	J	A	
72. -ARK GENOMIC REVOLUTION (ARKG)	A	Dividend	K	T	Sold (part)	03/20/20	J	A	
73. -TOUCHSTONE SANDS CAPITAL EMERG MKTS GWTH (TSEM)		None	K	T	Buy	03/20/20	J		
74. -ISHARES 1-3 YEAR TREASURY BOND (SHY)	A	Dividend	K	T	Buy	03/20/20	K		
75. -ISHARES SILVER TR (SLY)		None	K	T	Buy	03/20/20	J		
76. -SPDR S P BIOTECH (XBI)	A	Dividend	J	T	Buy	03/20/20	J		
77. -ISHARES EDGE MSCI MLTFAC EMERGING MKTS (EMGF)	A	Dividend	J	T	Buy	03/20/20	J		
78. -VANECK VECTROS ETF TR JUNIOR GOLD (GDXJ)	A	Dividend	K	T	Buy	03/20/20	K		
79. -SPDR BLOOMBERG BARCLAYS 1-3 MNTH TBILL (BIL)	A	Dividend	L	T	Buy	03/20/20	L		
80. -HEALTH CARE SELECT SPDR (XLV)	A	Dividend	J	T	Buy	03/20/20	J		
81. -SECTOR SPDR CONSMNRS STPL (XLP)	A	Dividend	J	T	Buy	03/20/20	J		
82. -SECTOR SPDR UTILITIES (XLU)	A	Dividend	J	T	Buy	03/20/20	J		
83. -SPDR GOLD TRUST (GLD)		None	K	T	Buy	03/20/20	K		
84. MERRILL LYNCH - IRRRA #1 (H)									
85. -BANK OF AMERICA, NA - CASH EQUIVALENT	A	Interest	J	T					

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86. - EATON VANCE FLOATING RATE FUND (EIBLX)	A	Dividend	J	T					
87. - ISHARES AGENCY BOND FUND (AGZ)	A	Dividend	K	T					
88. - ALPS ALERIAN MLP ETF (AMLPE)	B	Dividend	J	T					
89. - ISHARES S-T CORP BD (IGSB)	A	Dividend	J	T					
90. - SPDR BLOOMBERG BARCLAYS CONVERTIBLE (CWB)	A	Dividend	L	T					
91. -VANGUARD TOTAL STK MKT (VTI)	B	Dividend	M	T					
92. -VANGUARD REIT ETF (VNQ)	A	Dividend	K	T	Sold (part)	09/11/20	K	B	
93. -VANGUARD FTSE ALL WORLD (VEU)	A	Dividend	K	T					
94. -VANGUARD TOTAL BOND MKT (BND)	A	Dividend	K	T					
95. -INVESCO PREFERRED ETF (PGX)	B	Dividend	K	T					
96. -VANGUARD TOTAL INTERNATL (BNDX)	A	Dividend	K	T					
97. -ISHARES SHORT MATURITY (NEAR)	A	Dividend	K	T					
98. -SECTOR SPDR UTILITIES (XLU)	A	Dividend	K	T					
99. -ISHARES MSCI EUROZONE (EZU)	A	Dividend			Sold	09/11/20	J	A	
100. -ISHARES COHEN & STEERS REIT (ICF)	A	Dividend	K	T					
101. -INVESCO S&P SMALLCAP LOW VOLATILITY (XSLV)	A	Dividend			Sold	09/11/20	J	A	

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(See Columns B1 and D4)	F =\$50,001 - \$100,000	G =\$100,001 - \$1,000,000	H1 =\$1,000,001 - \$5,000,000	H2 =More than \$5,000,000	
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(See Columns C1 and D3)	N =\$250,001 - \$500,000	O =\$500,001 - \$1,000,000	P1 =\$1,000,001 - \$5,000,000	P2 =\$5,000,001 - \$25,000,000	
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102. -ISHARES INC ESG AWARE MSCI (FRMRLY)ISHARES MSCI EM ESG OPT ETF (ESGE)	A	Dividend	K	T					
103. -PIMCO ENERGY & TACTICAL CR OPP (NRGX)	C	Dividend			Sold (part)	09/09/20	K	A	
104.					Sold (part)	09/17/20	J	A	
105.					Sold	10/01/20	J	A	
106. -TOUCHSTONE SANDS CAPITAL (TSEMX)		None	J	T	Buy	09/10/20	J		
107. -ABERDEEN STD PHYSICAL (PALL)		None	J	T	Buy	09/11/20	J		
108. -ARK INNOVATION (ARKK)	A	Dividend	K	T	Buy	09/11/20	J		
109. -ISHARES SILVER TR (SLV)		None	J	T	Buy	09/11/20	J		
110. -SPDR GOLD TRUST (GLD)		None	J	T	Buy	09/11/20	J		
111. -SPDR SP BIOTECH (XBI)	A	Dividend	J	T	Buy	09/11/20	J		
112. MERRILL LYNCH - IRR #2 (H)									
113. - BANK OF AMERICA, NA - CASH EQUIVALENT	A	Interest	J	T					
114. -PIMCO ENERGY & TACTICAL CR OPP (NRGX)	A	Dividend			Sold	09/20/20	J	A	
115. -CD TRUIST BANK CHARLOTTE NC 1.95% 1/15/20 (CUSIP 105133FZ0)	A	Interest			Matured	01/15/20	K	A	
116. -CD TRUIST BANK CHARLOTTE NC 1.85% 4/15/20 (CUSIP 105133GA4)	A	Interest			Matured	04/15/20	K	A	

1 Income Gain Codes: (See Columns B1 and D4)	A =\$1,000 or less F =\$50,001 - \$100,000	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000	C =\$2,501 - \$5,000 H1 =\$1,000,001 - \$5,000,000	D =\$5,001 - \$15,000 H2 =More than \$5,000,000	E =\$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	J =\$15,000 or less N =\$250,001 - \$500,000 P3 =\$25,000,001 - \$50,000,000	K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	L =\$50,001 - \$100,000 P1 =\$1,000,001 - \$5,000,000 P4 =More than \$50,000,000	M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	
3 Value Method Codes (See Column C2)	Q =Appraisal U =Book Value	R =Cost (Real Estate Only) V =Other	S =Assessment W =Estimated	T =Cash Market	

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

MCNAMEE, STEPHEN M.

Date of Report

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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

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Name of Person Reporting

MCNAMEE, STEPHEN M.

Date of Report

07/30/2021

IX. CERTIFICATION.

I certify that all information given above (including information pertaining to my spouse and minor or dependent children, if any) is accurate, true, and complete to the best of my knowledge and belief, and that any information not reported was withheld because it met applicable statutory provisions permitting non-disclosure.

I further certify that earned income from outside employment and honoraria and the acceptance of gifts which have been reported are in compliance with the provisions of 5 U.S.C. app. § 501 et. seq., 5 U.S.C. § 7353, and Judicial Conference regulations.

Signature: **s/ STEPHEN M. MCNAMEE**

NOTE: ANY INDIVIDUAL WHO KNOWINGLY AND WILLFULLY FALSIFIES OR FAILS TO FILE THIS REPORT MAY BE SUBJECT TO CIVIL AND CRIMINAL SANCTIONS (5 U.S.C. app. § 104)

Committee on Financial Disclosure
Administrative Office of the United States Courts
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One Columbus Circle, N.E.
Washington, D.C. 20544